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PTO/SB/21 (6-99)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number

10/669,130

Filing Date

September 22, 2003

First Named Inventor

Isaac Shpantzer

Group/Art Unit

2874

Examiner Name

To Be Assigned

Total Number of Pages in This Submission

Attorney Docket Number

39878-0030

## ENCLOSURES (check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Response

☐ Exhibits

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☒ Information Disclosure Statement  
with PTO-1449

☐ Certified Copy of Priority  
Document(s)

☐ Response to Missing Parts/  
Incomplete Application

☐ Response to Missing  
Parts under 37 CFR  
1.52 or 1.53

☐ Assignment Papers  
(for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition to Convert to a  
Provisional Application

☐ Power of Attorney, Revocation  
Change of Correspondence Address

☐ Terminal Disclaimer

☐ Small Entity Status Claimed

☐ Statement under 3.73(b)

☐ After Allowance Communication  
to Group

☐ Appeal Communication to Board  
of Appeals and Interferences

☐ Appeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)

☐ Status Letter

☒ Additional Enclosure(s)  
(please identify below):

9 references enclosed (12 cited)  
and Return Receipt Postcard

Remarks

**AUTHORIZATION TO CHARGE DEPOSIT ACCOUNT 08-1641 (ATTORNEY  
DOCKET NO.: 39878-0030) FOR ANY FEES DUE IN CONNECTION WITH THIS  
PAPER.**

## SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

Firm  
or  
Individual name

Paul Davis, Reg. No. 29,294, HELLER EHRMAN LLP

Signature

Date

September 8, 2005

Customer Number:

25213

## CERTIFICATE OF FIRST CLASS MAILING

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Typed or printed name

Jason A. Gonzalez

Signature

Date

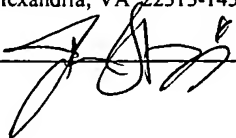
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Jason A. Gonzalez



**PATENT**

**Attorney Docket No.: 39878-0030**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**PATENT APPLICATION**

Inventor(s): Isaac Shpantzer, et al.

Application No.: 10/669,130

Filed: September 22, 2003

Title: Coherent Optical Detector and Coherent  
Communication System and Method

Art Unit: 2874

Examiner: To Be Assigned

**INFORMATION DISCLOSURE STATEMENT**

**UNDER 37 C.F.R. §1.97**

Mail Stop: Amendment  
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Alexandria, VA 22313-1450

Sir:

Listed below or on an attached Form PTO-1449 is information known to applicant(s). A copy is provided of each foreign patent, each cited pending unpublished U.S. application, and all additional publications other than U.S. patents and U.S. patent application publications. 37 C.F.R. §§1.97-1.98.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. If form PTO-1449 is enclosed, the Examiner is requested to initial and return it in accordance with MPEP §609.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in §1.56.

- ☒ This statement qualifies under 37 C.F.R. §1.97, subsection (b) because (check all that apply):
- ☐ (1) It is being filed within 3 months of the application filing date and is other than a continued prosecution application under § 1.53(d)  
-- OR --
- ☐ (2) It is being filed within 3 months of entry of a national stage  
-- OR --
- ☒ (3) It is being filed before the mail date of the first Office Action on the merits  
-- OR --
- ☐ (4) It is being filed before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.
- ☐ 37 C.F.R. §1.97(c). If this statement is being filed after the latest of: (1) three months beyond the filing date of a national application; (2) three months beyond the date of entry of the national stage as set forth in §1.491 in an international application; or (3) the mailing date of a first Office action on the merits, but before the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, then:
- ☐ a certification as specified in §1.97(e) is provided below; or
- ☐ a fee of \$180.00 as set forth in §1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.
- ☐ 37 C.F.R. §1.97(d). If this statement is being filed after the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, but before payment of the issue fee, then:
- A. a certification as specified in §1.97(e) is completed below; and
- B. a petition under 37 C.F.R. §1.97(d) requesting consideration of this statement is submitted herewith; and
- C. a fee of \$130.00 as set forth in §1.17(i)(1) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.
- ☒ **Fee Authorization.** The Commissioner is hereby authorized to charge any fees or credit any overpayment associated with this communication to Deposit Account No. 08-1641 (Docket No.: 39878-0030).

Respectfully submitted,

HELLER EHRMAN LLP

Dated: September 8, 2005

By: 

Paul Davis, Reg. No.: 29,294

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<b>INFORMATION DISCLOSURE STATEMENT</b>  <b>PTO-1449</b>		ATTY. DOCKET NO. <b>39878-0030</b>		SERIAL NO. <b>10/669,130</b>			
		APPLICANT: Isaac Shpantzer, et al.					
		FILING DATE: 09/22/2003		GROUP: 2874			
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE	
	5,408,327	04/18/1995	Geiler, et al.	356	432		
	6,709,857	03/23/2004	Bachur, Jr.	435	288.7		
	6,038,357	03/14/2000	Pan	385	24		
<b>FOREIGN PATENT DOCUMENTS</b>							
EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
						<input type="checkbox"/>	<input type="checkbox"/>
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
	E.A. MCLEAN, "Interferometric Observation of Absorption Induced Index Change Associated with Thermal Blooming", Applied Physics Letters, Volume 13, Number 11, pp.369-371, 1 December 1968						
	FREDERICK R. GRABINER, et al., "Laser Incudeced Time-Dependent Thermal Lensing Studies of Vibrational Relaxation: Translational Cooling in CH <sub>3</sub> F", Chemical Physics Letters, Volume 17, Number 2, pp.189-194, 15 November 1972						
	LEONID G. KAZOVSKY, "Phase-and Polarization-Diversity Coheretn Optical Techniques", Journal of Lightwave Technology, Volume 7, Number 2, pp.279-292, February 1989						
	N.G. WALKER, et al., "Simultaneous Phase and Amplitude Measurements on Optical Signals Using a Multiport Junction", Electronics Letters, Volume 20, Number 23, pp.981-983, 8 November 1984						
	T.G. HODKINSON, et al., "Demodulation of Optical DPSK Using In-Phase and Quadrature Detection", Electronic Letters, Volume 21, Number 19, pp.867-868, 12 September 1985						
	J.SAULNIER, et al., "Optical Polarization-Diversity Receiver Integrated n Titanium Niobate", IEEE Photonics Technology Letters, Volume 3, Number 10, pp.926-928, October 1991						
	F. GHIRARDI, et al., "InP-Based 10-GHz Bandwidth Polarization Diversity Heterodyne Photoreciever with Electrooptical Adjustability", IEEE Photonics Technology Letters, Volume 6, Number 7, pp.814-816, July 1994						
	D. HOFFMANN, et al., "Integrated Optics Eight-Port 90° Hybrid on LiNbO <sub>3</sub> ", Journal of Lightwave Technology, Volume 7, Number 5, pp. 794-798, May 1989						
	HARRY J.R. DUTTON, "Understanding Optical Communications", Prentice Hall PTR, Chapter 9, pp. 512-548, 1998						
EXAMINER			DATE CONSIDERED				

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant